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ABSTRACT

Japanese management theory was studied to identify specific models for consideration by student personnel administrators. The report is organized into three sections: major components of Japanese management theory, potential implications for student personnel administration, and three models, based on components of Japanese management theory, for adaptation by student personnel administrators. The first section discusses historical and theoretical perspectives from America, followed by: the development of a comprehensive philosophy; the creation of structures and incentives; nonspecialized career paths and job rotation; collective responsibility and values; trust, egalitarianism and holistic concern for staff; a long-term emphasis, slow evaluation and promotion, and lifetime employment; and the emphasis of subtlety. Section two considers criticisms of Japanese management theory, creating a climate, structural vehicles, quality circles, nonspecialized career paths and job rotation, matrix management, and concepts least likely to be implemented. The third section focuses on a quality circle model for student affairs, a model job rotation plan, and matrix organization models. It is concluded that Japanese corporate techniques for quality output, enhanced productivity, and cost reduction may be applicable to problems related to quality, cost reduction, and staff morale in U.S. higher education. There are 50 references. (SM)

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Translating Theory into Practice: Implications of Japanese Management Theory for Student Personnel Administrators

By

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Brenton H. Steele
Thomas B. Thielen

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William L. Deegan
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SECTION ONE
Japanese Management Theory and Practice

Background

The increasing concern in America over the problems of rising costs, questionable quality products, declining productivity, and poor staff morale has been abundantly documented in the literature of both profit and nonprofit organizations in the past few years. The search for mechanisms to increase quality and productivity has become a dominant theme of the 1980s. America as a nation has often responded to themes in other eras—themes that have dramatically changed our values and programs. For example, in the 1960s the dominant themes were freedom and participation; and much in American society in general, and in education in particular, shifted. We saw significant changes in curriculum, in faculty and student participation in governance, and a general opening-up of American society and its values.

In the 1970s the predominant theme became accountabili-

ty and American society again shifted. We saw increased governmental review of programs, passage of taxpayer initiatives such as Proposition 13 in California, and the general disillusionment that occurred in this country as our educational institutions floundered and our corporations lost ground to international competition.

Now, in the 1980s, the dominant themes of quality and productivity will set a new climate for much of the foreseeable future. The emergence of these themes is abundantly clear in both the renewed emphasis on standards in education and the advertising campaigns of major corporations.

One response of the profit sector of the American economy in seeking solutions to quality and productivity problems has been a heightened interest in, and experimentation with, aspects of Japanese management theory. Productivity growth in Japan has increased at four times the rate of that in the United States since World War II, (Ouchi, 1981, p. 4), and the success of Japanese companies in capturing significant shares of traditional American markets has caused a general reevaluation of many management practices in a number of American corporations.

Student personnel administrators are also in a period of reevaluation of many program and management practices. In one sense the philosophical foundation of the profession—with the emphasis on student development—is perhaps more clearly articulated today than ever before. Yet there are other forces on the horizon which could substantially alter the implementation of the student development philosophy. The forecasts of budget cuts, property tax rebellions, enrollment declines, and increased intervention by government agencies in the internal workings of academic institutions have accelerated the search for management responses to help cope with these problems. As has occurred in the profit sector, student personnel administrators have displayed an increasing interest in examining the potentials and limits of Japanese management theory for student personnel administration.

Objectives of the Monograph

This monograph was commissioned by the National Association of Student Personnel Administrators to help provide both an analysis of Japanese management theory and some specific models which could serve as a focus for discussion as student personnel administrators consider the relevance and potential of Japanese management practices for their own colleges.

The monograph is based on extensive analysis of the literature concerning Japanese management theory and is organized into three sections: an analysis of the major components of Japanese management theory, a discussion of the potential implications for student personnel administration, and the presentation of three models, based on components of Japanese management theory, which student personnel administrators could adapt for experimentation and research at their own campuses.

We do not claim that we can simply lift concepts from another culture and from the profit sector and plunk them down in student personnel administration. However, we do believe that a review of Japanese management concepts, given cultural and contextural differences, may lead to new perspectives and the development of mechanisms suitable for experimentation in student personnel administration—mechanisms which may help reduce costs, increase morale, and improve productivity.

The danger, of course, is in trying to embrace pieces of Japanese management theory in the traditional American search for the quick fix and the short-term solution. As Schein (1981, p. 55) has written, "Complicated solutions which require long-range planning, resolute implementation, and patience in the face of short run difficulties are harder for us to implement." Yet one of the problems of American businesses, and a major reason for the tremendous interest in Japanese management practices, is this American emphasis on the short term (what some have called the cult of quarterly profits)—an emphasis that many argue has often led to decreased productivity, poor

quality products, poor staff morale and a lack of commitment to work, and the declining reputation of many American companies.

In contrast, many Japanese companies have experienced tremendous gains in productivity and growing reputations for quality since the 1950s. In addition, a number of American companies have had significant success using some of the Japanese management concepts. For example:

1. *When a Buick assembly plant* dropped to one of the lowest levels of efficiency and quality in the corporation, they implemented some Japanese management practices. In two years, that plant rose to be number one in quality and efficiency (Rieker, 1980).
2. *At Lockheed Aircraft*—using only one major component of Japanese management, "Quality Circles"—they saved more than $2,800,000 *over and above* their existing cost improvement program in the first two years—a six-to-one return on the cost of the quality circle program (Rieker, 1980).
3. A growing body of literature reports increasingly positive results of experimenting with Japanese concepts in the American corporate world (Dewar, 1980; Ouchi, 1981; Pascale & Athos, 1981).

While Japanese management theories and practices may be no panacea for higher education, they do offer some interesting perspectives which might assist student personnel administrators to examine their own management paradigms.

Historical and Theoretical Perspectives from America

Much of what constitutes Japanese management theory and practice owes a deep debt to developments in management theory and practice in America. Edgar Schein (1981) provides an interesting historical perspective for examining Japanese management theory. He contends that in the 1950s many of the socialization methods used by some of our largest corporations were similar to processes of indoctrination.

These methods came under attack by many authors (e.g., W.H. Whyte's *The Organization Man*) who saw them as stifling to the innovative and creative capacities of both the organization and the individual.

In the 1960s, the emphasis changed from conformity to stimulating "self-actualization" and an emphasis on integrating individual goals with organizational goals. By the 1970s, we had discovered the concept of organizational culture and the importance of norms, values, and beliefs as powerful socialization forces.

Remnants of each of these historical swings and the lessons learned in each can be found in the theories and practices of the Japanese. Also important for understanding Japanese management theory are the contributions of theorists writing in America. Charles Burch (1981) cites the contributions of researchers ranging from the Hawthorne experiments on worker attitudes to the problems of fractionated jobs and their impact on turnover and absenteeism.

Most of the major concepts that underlie the quality-of-worklife idea were developed in America. Contributions such as Douglas McGregor's (1960) work on "Theory Y" showed the importance of having faith in people and building trust. Rensis Likert (1967) conceptualized a spectrum of organizational types ranging from what he called System I, the most rigid and hierarchical, to System IV, the most participative, cooperative, and flexible. Chris Argyris (1964) showed the necessity of permitting people in organizations to function as adults instead of as dependent children, and he also showed how the classical system set management and employees at cross-purposes; Abraham Maslow (1954) contributed valuable research on needs and the self-actualizing organization.

Thus, Japanese theory is a hybrid—a combination of American and Japanese research and thinking. And the product of that hybrid is a theory that emphasizes:

1. participative decision making
2. collective values and responsibility
3. a long-term perspective
4. trust and a wholistic concern for people

5. the creation of interdependent, reinforcing structure and incentives

Pascale and Athos (1981) argue that the Japanese manage a wider range of variables than do American managers. They present what they term "The 7-S framework" as a conceptual scheme for analyzing Japanese corporations. The seven S's (Pascale and Athos, 1981, p. 125) are listed in figure 1.

FIGURE 1

THE SEVEN S's

Strategy	**Plan or course of action leading to the allocation of a firm's scarce resources, over time, to reach identified goals**
Structure	**Characterization of the organization chart (i.e., functional, decentralization, etc.)**
Systems	**Proceduralized reports and routinized processes such as meeting formats**
Staff	**"Demographic" description of important personnel categories within the firm (i.e., engineers, entrepreneurs, M.B.A.'s, etc.). "Staff" is not meant in line-staff terms**
Style	**Characterization of how key managers behave in achieving the organization's goals; also the cultural style of the organization**
Skills	**Distinctive capabilities of key personnel or the firm as a whole**
Superordinate Goals	**The significant meanings or guiding concepts that an organization imbues in its members**

Pascale and Athos concluded that the American emphasis on the so-called hard S's—strategy, structure, and systems—may have gone beyond the point of diminishing returns, and that the "soft S's"—staff, style, skills, and superordinate goals—are not frosting on the cake; they are indispensable, interdependent parts of any corporate long-term success. As Daniel observed:

> The weaknesses in American management that have been at fault in our declining international competitiveness have not been so much an over-reliance on analyses and technique as a failure to fit the application of technique into a broader, more complete, and more coherent concept of what enables organizations to perform in a superior way to endure over time (in Pascale & Athos, 1981, p. 16).

The Japanese translate this general approach of managing a wider range of variables into practice via a number of structural components that blend together to form the essence of Japanese management theory. Let us turn now to a more specific analysis of these structural components before looking at their potentials and limits for student personnel administration.

The Development of a Comprehensive Philosophy

Philosophy is an easy word to say but a very difficult concept to implement. The development of a comprehensive philosophy—the agreement on the central set of objectives and *ways* of doing things—has been termed the basic mechanism of control and the "most underpublicized secret weapon of great companies" (*Fortune*, June 15, 1981, p. 248). As Ouchi (1981) writes: "A philosophy gives people a sense of values to work and live by, and it suggests ways for the organization to behave in response to its people, its clients, and the community it serves" (p. 101). Thus, all of the other components of Japanese management theory, such as matrix management or quality circles, are implemented in a climate in which they can grow and de-

velop by the spirit, objectives, and style or ways of doing things that are developed and communicated in the statement of philosophy.

Imagine for a minute a basketball team. With five seconds to go in the game, and your team one point behind, the center steals the ball and passes to a guard under the basket. Rather than shooting the winning basket, the guard holds the ball and time runs out. After the game, when asked why he did not shoot, the guard says, "My job is to pass the ball, not to shoot." Of course, this example is a bit extreme, but most of us would be horrified by the guard's violation of the norms and values—the philosophy of teamwork and cooperation—that must pervade a good basketball team.

Yet we recently witnessed a scene in the educational world where a young man was charged to prepare an analysis of a report. As he was just beginning his presentation to a group of about fifteen staff colleagues, he was interrupted by a woman holding a document that she said was a new version of the report the young man was charged to analyze. Apparently the woman had received an updated version of the report through friends. Rather than checking to see that her "colleague" also had the report, she held it until the meeting and sprung it on him before the assembled group—perhaps not too different a performance from that of our basketball guard!

The point is that an organizational philosophy that creates the right kind of corporate culture can be a powerful socializing force that can lead to teamwork, trust, and integrated, reinforcing structures, just as an unhealthy corporate culture can lead to politics, vested interest power plays, and short-run expediency. The importance of an organizational philosophy and the culture it creates is currently receiving a good deal of attention in the management literature of both profit and nonprofit organizations (see *Corporate Cultures*, 1982; *Theory Z*, 1981; *The Art of Japanese Management*, 1981).

In response to this growing awareness of the power and importance of a coherent and integrated organizational philosophy and culture, Ouchi (1981) recommends a "philosophical audit" as a first step toward developing or redirecting the overall organizational philosophy and culture. This audit will pro-

vide an analysis of what currently exists (in terms of the objectives and *ways* of doing things), which can then be used as basis for change and development if necessary. As Schein (1981) observed: "If we can become more aware of our own premises and values, we can then examine analytically and empirically what the strengths and weaknesses of our own paradigm may be" (p. 58).

We are at a point where many forces are pushing higher education in many directions. Perhaps more than ever before, the development of a coherent philosophy which is communicated and translated into an organizational culture where teamwork, cooperation, and the best long-term interests of the organization are paramount will be the essential dimension that distinguishes our most successful institutions of higher education in the difficult decade ahead.

The Creation of Structures and Incentives

A second key component of Japanese management theory is the creation of structures and incentives to operationalize the philosophy and encourage participative decision making. To do this, Japanese management theory offers the concepts of quality circles, matrix management, and an emphasis on teamwork as major structural vehicles to achieve their goals, and an emphasis on recognition and (in some organizations) financial rewards as major incentives for increasing quality and productivity.

Quality circles are perhaps the most publicized of these concepts. In theory, a quality circle is a small group of employees doing similar work who voluntarily meet regularly in a structured group to analyze problems and recommend solutions for management's consideration. Quality circles were begun in Japan in 1949. The impetus for the concept was the belief that industry's long standing separation of study and analysis from work routines was ineffective. Quality circles were proposed as a vehicle for unlocking the potential for worker contribution to the organization by providing mechanisms to help produce a sense of fuller participation and dignity in the organization.

Reports of results of quality circle programs in the profit sector have been generally positive and sometimes spectacular. In addition to improved morale, more effective teamwork, increased employee motivation, reduced errors, and enhanced quality, studies have reported some significant cost savings. For example:

> The circle in a document control organization made recommendations resulting in changes in the flow of paperwork and reduction in the number of errors. The employees increased job scope and responsibility. In addition to the improved level of quality and the enhancement of job satisfaction, a substantial $41,000 annual savings was realized (Dewar, 1979).
>
> A proposal to use sample circuit boards in a computing facility at a large corporation led to savings of $40,000 per year (Dewar, 1979).
>
> Implementation of office work simplification procedures resulted in savings of $34,000 per year at another corporation (Dewar, 1979).

But perhaps the most important contribution of all is the treatment of the individual worker—the increased dignity, sense of responsibility, and participation that can result from an effective quality circle program. While quality circles are no panacea for all problems, the concept has led to some significant results in the American and Japanese profit sectors.

A related structural vehicle is matrix organization. A matrix organizational pattern results when a project structure is superimposed on a functional structure (see Section III for a matrix model proposed for student personnel administration). Thus, a series of functional activities can be integrated, coordinated, and directed toward goals organized around a specific project. In theory, a matrix structure can provide a vehicle to enhance teamwork and productivity, and many organizations which face problems of structural and technical complexity have moved to a matrix organizational pattern.

Potential advantages of matrix organization include (Cle-

land & King, 1967) the following:

1. The project is emphasized by designating one individual as the focal point for all matters pertaining to it.

2. Utilization of manpower can be flexible because a reservoir of specialists is maintained in functional organization.

3. Specialized knowledge is available to all programs on an equal basis; knowledge and experience can be transferred from one project to another.

4. Project people have a functional home when they are no longer needed on a given project.

5. Responsiveness to project needs and customer desires is generally faster because lines of communication are established and decision points are centralized.

6. Management consistency between projects can be maintained through the deliberate conflict operating in the project-functional environment.

7. A better balance between time, cost, and performance can be obtained through the built-in checks and balances (the deliberate conflict) and the continuous negotiations carried on between the project and the functional organizations.

These proposed advantages must be weighed against potential disadvantages, which include the possibility that matrix organization can become overly complex or can produce conflict, employee stress, and political problems. Peters and Waterman in their book: *In Search of Excellence, Lessons from America's Best-Run Companies* (1982) documented some of the dangers of an overly complex matrix organization or of a matrix organization model introduced in an environment where the organization culture was not ready for this kind of structure. Problems they found included a tendency for matrix organization not to endure over time, uncertainties about authority, and problems of too much paperwork. As they concluded: "one can beat the complexity syndrome, but it is not easy" (p. 49). Here again, the importance of creating an organizational cul-

ture and philosophy that emphasizes trust and cooperation is crucial to the success of the more specific structural vehicles.

The emphasis on teamwork is also a natural product of the organizational incentives of many Japanese organizations—organizations which may often more closely resemble American sports teams than corporations.

Nonspecialized Career Paths and Job Rotation

The next important component of Japanese management theory involves the concepts of nonspecialized career paths and job rotation. In America we tend to develop a single job specialty and change organizations to succeed in our careers. In Japan people tend to learn many job specialties but remain in a single organization. One effect of this job rotation pattern in Japan is to enhance commitment and teamwork. Through rotation, staff members develop a more comprehensive perspective on the organization and can more easily communicate and participate in problem-solving efforts that transcend a single specialty.

Japanese corporations devote a great deal of thought and effort to the development of staff. A key aspect of this development effort is a system of job rotation. For example, the Matsushita Corporation has had a job rotation program in effect since the 1930s. The program was developed as a mechanism to help provide company-wide perspectives and integrate them into the Matsushita autonomous divisional structure. Each year, 5 percent of Matsushita's employees (comprised of one-third managers, supervisors, and workers) rotate from one division to another. The result is a more comprehensive perspective on the total organization and more effective teamwork, because employees know and understand a wide range of people and operations.

While the concept of job rotation is somewhat foreign to many American managers, especially in education, the difficulties of the fiscal and employment conditions projected for the decade ahead may spur additional experimentation with job rotation as a vehicle to enrich the quality of work life and

improve morale and productivity throughout the organization.

Collective Responsibility and Values

A fourth component of Japanese management theory is collective responsibility. This aspect of Japanese management is one of the most difficult for Western managers to comprehend. Collective values and responsibility and the emphasis on working for the good of the whole organization, not for vested individual interests, are again an outgrowth of the corporate culture. As Ouchi observed, "Everything in life happens as a result of teamwork and collective effort. Therefore, to try to assign individual credit or blame to results is unfounded" (Ouchi, 1981, p. 50).

One prominent result of the emphasis on collective responsibility is a consensual decision-making process which may seem agonizingly slow to the Western observer. The Japanese agree that their decision-making process is much slower than the typically American top-down decision process, but they cite the benefits of quicker and more effective *implementation* once the decision has been made. Their claims tend to be supported by research findings which suggest that often the *quality of commitment* to a decision rather than the quality of some dimension of the decision itself is the *most critical* factor in the fate of a project (Ouchi, 1981).

When the Japanese have a number of alternatives, they spend considerable time discussing each alternative with those who will be affected. Because effective implementation of decisions requires a reconciliation of competing interests, the Japanese seek to fully explore a proper balance between what is substantively optimal and what is most likely to be successfully implemented. Decision-making theorists have long known that decision making is influenced by two key factors: (1) the degree of agreement among people and (2) the extent of knowledge as to whether the decision will produce the desired results (see Vroom & Yetton, 1973). The American drive for quick decisions often prompts managers to choose prematurely,

without proper analysis of implementational feasibility. Then they often face an alienated staff and other implementation problems that they did not fully consider. The Japanese method of combining proper analysis of the problem, and of alternative solutions, with broad consensus on the final solution makes implementation quite rapid and more than makes up for the time lost in the consensus decision-making process (Rehder, 1979).

While there are obvious cultural differences between the American emphasis on independence and the Japanese emphasis on interdependence, the consensual decision-making model may hold significant potential for American managers seeking ways to better *integrate across* functional areas and to make more effective and implementable decisions for the long-term good of the organization.

Trust, Egalitarianism and Wholistic Concern for Staff

Three additional components that tend to fit together are the Japanese emphasis on trust building, which provides a fundamental foundation upon which all other components grow; egalitarianism, which means an emphasis on adult-adult relationships and which implies that each person can work autonomously without close supervision; and a wholistic concern for people, which means more inclusive and intimate relationships (both in and outside of the work environment) with fellow workers, and a more complete concern for and understanding of the whole person.

Organizations, by their very nature, tend to promote segmented relationships and hierarchical attitudes among employees. The concepts of trust and egalitarianism are cornerstones of the Japanese approach to managing people. These elements must be achieved at a level conducive to positively influencing the other structural concepts. Trust is the belief that individual, group, and organizational goals have a high degree of congruence and interrelationship. The first lesson emphasized by Ouchi (1981) and Pascale & Athos (1981) in understanding the accomplishments of Japanese firms, as well as

the increased productivity of American firms that implemented Japanese forms of organization, is to understand that the terms "productivity" and "trust" are interchangeable and essential to the success of any management or leadership style. The studies made of the Japanese trading firms like Mitsui, Mitsubishi, and Sumitomo reveal the capacity of sales and management personnel to move quickly into new markets and negotiate deals where American firms cannot. According to the studies, the central feature of the Japanese organization is a management system that maintains a sense of trust among employees at all levels of the system. The success of the trading company depends critically upon the willingness of individual branch offices and employees to make sacrifices (take a loss on a transaction) in order for the entire company to maximize profits. The conclusion of the studies is that the willingness exists because of the managerial practices that foster trust based on the knowledge that sacrifices will be repaid in the future (Ouchi, 1981).

Egalitarianism implies trust—a person can apply discretion and can work autonomously without close supervision—with emphasis on adult-to-adult relationships within an organizational work force.

The Japanese also emphasize a wholistic concern for people in their business and industrial settings. This concept stresses the importance of collegial relationships with fellow workers and helps promote a more complete concern for, and understanding of, the total person. This emphasis of the Japanese on building a corporate culture where trust, egalitarianism, and wholistic concern for staff are paramount is another aspect of Japanese management theory which is receiving a good deal of attention in current management literature. As Burch observed: "Perhaps no area of management has been more neglected than improving the way people work together . . . this obsessive attention to people in every aspect of the business is a fundamental part of the culture of well-run companies both in Japan and America" (*Fortune*, June 15, 1981, p. 70).

In essence, the work force in many Japanese companies is a community dedicated to superordinate goals which, rather

than relying exclusively upon hierarchy and monitoring, relies more heavily upon commitment and trust. Because of the kind of "psychological contract" which develops in this type of organization, self-direction replaces hierarchical direction to a significant extent, and this in turn enhances commitment, loyalty, and motivation.

A Long-Term Emphasis, Slow Evaluation and Promotion, Lifetime Employment

Several other components of Japanese management theory also tend to fit together: a *long-term emphasis, slow evaluation and promotion,* and *lifetime employment.*

According to a number of analysts (Burch, 1981; Ouchi, 1981; Pascale & Athos, 1981; Rehder, 1979), the problem with a large number of American organizations (in contrast to the Japanese organizations) is that they are too worried about short-run performance and not worried enough about their workers. As Rehder (1975, p. 25) observed:

> A key managerial characteristic of Japanese management is their long-term commitment to their social organizations. Long-term employment and continuous company training and development of employees toward high collective organizational goals necessitate their long-term market share growth strategy and appear to be major factors contributing to Japan's remarkable corporate productivity and economic growth.

Japanese firms are often more able to focus on a longer-term emphasis because of their more permanent and committed staffs. This stability is provided in large part by the policy of lifetime employment and supported by a network of satellite firms and a cadre of temporary employees. About 35 percent of Japan's work force enjoys lifetime employment. Thus, in many corporations, groups of young college graduates are hired and assured of lifetime employment. Promotions are entirely from within, and a staff member will tend to receive exactly the same

promotions and pay increases as those staff who entered at the same time. Only after about ten years will anyone receive a larger promotion than the group as a whole. The theory is that the lifetime employment and slowness of evaluations will tend to discourage the playing of political games or the search for short-term gains which may benefit the individual, but may not be in the interests of the firm in the long term. As Ouchi (1981) writes: "What is critical is that young people realize that superior performance is recognized and will be well compensated in the long run." This slowness of formal evaluation is another concept that is troublesome for Americans, but the cooperative efforts and teamwork that result in many Japanese firms often contrast sharply with the power politics and short-term focus that occur in many American firms.

The Emphasis on Subtlety

A final major component of Japanese management theory is the *emphasis on subtlety*. As many critics suggest, perhaps too many top corporate positions are filled by financial wizards who know too little about the fundamentals of the very businesses they run, businesses they often run by the numbers with an emphasis on looking good in the short-run quarterly report. Ouchi (1981, p. 7) contends that many of the subtleties of relationships and markets cannot be captured in mere numbers, and any bureaucratic try will fail.

American managers may often feel powerless to exercise judgment in the face of our increasing emphasis on numbers. The Japanese, in contrast, may strike a better balance between the explicit and the implicit. While decisions are informed by a complete analysis of facts, they are also informed by an analysis of how the decision "fits" the company and the long-term impact of the decision on the values of the organization.

A clear danger in higher education is that we are heading toward the same hasty responses to crisis that some American businesses have made—often to their demise. We face potential problems of funding, but will we proceed to develop short-term solutions to these problems which may prove harmful to

our institutions in the longer term? To what extent are we selling fundamental values of quality and standards for increased enrollments? To what extent are we failing to make the hard decisions necessary to maintain the integrity and quality of our institutions?

In the Japanese firms, the emphasis is on the long term—an emphasis that grows from the corporate philosophy and is given life through collective decision making and from subtle reviews of needs and the best interests of the organization over the long term. The American firm has often stressed just the opposite, and the declining reputation and markets for many American products have forced American business managers to take a hard look at our management theories and practices. While we are not proposing to lift Japanese management concepts without concern for culture or context, we believe that they do hold potentials for improving many management practices in American student affairs divisions. Let us turn now to an examination of some of the potentials and limits of applying Japanese management theory in student personnel administration before we suggest some specific models for experimentation.

SECTION II
Implications for Student Personnel Administrators

As might be expected, there is a great deal of debate about the implications of Japanese management theory for American organizations. Some analysts see it as having significant potential while others dismiss it as culturally irrelevant and even dangerous. Perhaps the most important implication for student personnel administrators is the perspective that Japanese management theory offers. It forces us to reconsider our own management paradigms. The emphasis on managing a wider range of variables, the importance of the organizational culture, and the concept of interdependent, reinforcing structures and incentives in some ways take us back to basic principles of management, but with those principles reconstituted in a broader and more comprehensive framework.

The objectives of this section of the monograph are to review the criticisms of Japanese management theory and to suggest some implications of that theory for student personnel administration. The analysis of implications is not meant to be a prescription, but rather to serve as a focus for debate as student personnel administrators reconsider their own management

paradigms for the difficult challenges projected in the next ten years.

A great many American managers may be too limited in their vision, too influenced by beliefs, assumptions, and perceptions about management that unduly constrain them. Thomas Kuhn (1962) has argued that fields of science undergo great creative energy and progress after they have experienced a shift in their underlying nature or paradigm. Over time, our "normal paradigms" (our models or shared ways of understanding and viewing reality) become depleted and we may experience relatively little development in a particular discipline. However, if a fundamentally different paradigm begins to develop, if a "paradigm shift" occurs, then a field may find itself propelled into a period of creativity and progress. The success of the Japanese challenges us to rethink our management paradigms, to understand the contrasts between the Japanese and American management paradigms, and to question whether our current paradigms are sufficient for the difficult challenges ahead. Let us turn now to an analysis of the potentials and limits of Japanese management theory for student personnel administration, before proceeding to a presentation of some specific models for experimentation which are presented in Section III of the monograph.

Criticisms of Japanese Management Theory

Any consideration of the potential implementation of Japanese management theory and practices for student personnel administration should begin with a review of the major criticisms of Japanese theories and practices. As previously stated, there is a significant split of opinion about the potential for implementation, despite the fact that many of the success stories are quite impressive. The over-riding danger is the American penchant for the quick fix—the tendency to implement, evaluate, and dismiss management concepts too quickly. Along with this danger, there are a number of other concerns about Japanese management theory and practice.

Jerimiah Sullivan (1983) finds mixed empirical support for

Japanese management theory and questions the transferability of the theory from one culture to another. Sullivan does find some theoretical and empirical support for Japanese concepts, and cites William Ouchi, a major author in this field, as perhaps the first major thinker since Durkheim to theorize a relationship between industrial clans and productivity through the emphasis on trust, cohesive teams, and a more wholistic concern for staff. However, Sullivan also questions the extent to which a corporate philosophy really pervades Japanese organizations. He cites a study by Kagono, Komatsu, and Sakashita (1981) which found that corporate goals, policies, and values do not seem to filter down to any greater extent in Japanese firms than in American firms. Other studies question other concepts—the extent of (or lack of) egalitarianism (Nakane, 1972), the mixed evidence on consensual decision making (it tends to be consultative rather than consensual) (Clark, 1979), and more prevalent reliance on power, hierarchy, and status than much theory would have us believe (Sullivan, 1983). Sullivan concludes that more empirical support is needed before rushing into adaptations of Japanese management. As he puts it: "Generally, evidence is needed (1) that industrial clans are needed by, and can function in, modern industrial society; (2) that an industrial clan is more productive than a bureaucracy; and (3) that clan values and philosophy initiate a process of incentives, involvement, trust, satisfaction, and productivity" (Sullivan, 1983, p. 140).

Edgar Schein (1981) also questions the empirical evidence for much Japanese theory, but he does cite studies which found that "Theory Z" criteria generated higher morale, higher loyalty, and generally more healthy and positive feelings at all levels of the hierarchy than did comparable "Theory A" companies (1981, p. 58). Schein feels the "crucial insight that Ouchi provides is to identify another model, which he calls Theory Z, which is found in many American companies, which fits our culture, and which combines certain features of both American and Japanese companies" (p. 59).

Schein also questions the cultural fit of "taking managerial values from a culture in which they fit very well to one in which the fit is not at all clear," and he calls attention to the contrast in

the traditional American emphasis on independence and the Japanese tradition of interdependence. The key question of cultural fit and the premises and assumptions inherent in different cultures must be confronted by any organization considering experimenting with Japanese management concepts, yet the success of many American companies in using Japanese concepts seems to be providing a growing empirical counter to some of the theoretical questions. (Dewar, 1979; Rehder, 1979; Sullivan, 1983; Yankelovich, 1982).

The concern about differences in culture is also voiced by Rehder (1979). Nevertheless, he sees important lessons to be learned from the Japanese, including the emphasis on developing human resources, the power of group norms, and the importance of setting high standards of achievement. Rehder notes the similarity between some management concepts of the most successful American firms (e.g., IBM) and some of the Japanese management concepts.

The question of the cultural fit and exportability of Japanese management concepts has been the subject of an increasing number of studies. Johnson and Ouchi (1974) studied twenty-one Japanese companies operating in the United States and attributed their high performance to five traditional Japanese management characteristics successfully employed with American workers:

> **1.** emphasis on a flow of information and initiative from the *bottom* up;
> **2.** making top management the *facilitator* of decision making rather than the issuer of edicts;
> **3.** using middle management as the *impetus* for, and shaper of, solutions to *problems*;
> **4.** stressing *consensus* as the way of making decisions;
> **5.** paying close attention to the personal well-being of employees (p. 61).

Ouchi (1981), while clearly advocating the adaptation of many Japanese management practices for American organizations, cites several "difficulties in translation." These include a tendency to be in-bred and resistant to outside personnel, the

loss of some professionalism because of broader and less specialized career paths, and the need to change the organizational culture in order to adapt to a major shift in the environment.

Finally, Hatvany and Pucik (1981), writing about Japanese management practices and productivity, stated that Japanese management practices constitute a "remarkably well-integrated system . . . and that such a system is expected to result in a high degree of organizational effectiveness or productivity." They conclude that "the evidence strongly suggests that this paradigm is both desirable and feasible in Western countries and that the key elements of Japanese management practices are not unique to Japan and can be transplanted to other cultures" (p. 21).

Whereas it may be too early to make final judgments about the success of Japanese management concepts in American organizations, there is a growing body of empirical evidence on the potential (given the need for awareness of cultural differences) of many Japanese management concepts to improve morale, reduce costs, and increase productivity. Let us turn now to an examination of some of the potentials and limits of Japanese management concepts for student personnel administration.

Creating a Climate

As discussed earlier in this monograph, the organizational philosophy and the culture it creates can be a powerful force to further organizational goals and enhance teamwork, or it can be a serious barrier to individual and organizational productivity. As Sullivan (1983) noted:

> The value of a corporate philosophy is that (1) it replaces many of the bureaucracy's rules and hierarchies as sources of direction, guidance, and control; (2) it stands in for cultural values (Japanese) when such values are not salient; (3) it is the mechanism for creating an industrial clan; and (4) it creates the traditions of the clan (p. 136).

Schein (1981) also notes the importance of a coherent philosophy and culture. As he puts it:

> Long term relationships and a culture in which everyone knows his or her place in the status hierarchy lead to a different concept of superior-subordinate relationships in Japan . . . . This point is critical because it highlights one of the most important functions of superordinate goals or organizational philosophy. If everyone understands what the organization is trying to do and what its values are for how to do things, then every employee who truly understands the philosophy can figure what his or her course of action should be in an ambiguous situation. No directives or explicit control systems are needed because controls are internalized.

Increasingly, organizations are finding that effective functioning is not guaranteed by attention to the rational aspects of managing. Perhaps equally crucial to long-term success is the culture of the organization—the values, rites, rituals, and sense of mission that influence success.

In student affairs operations, there should be continuous efforts to understand the nature of our profession, the mission of the institution, and the organizational culture of the college and the student affairs division. To do this, consideration should be given to conducting a periodic philosophical/cultural audit (i.e., the act of examining and verifying an organization's purposes, goals, and values). A philosophical/cultural audit can help student affairs executives to better understand the organizational culture by determining (1) where it was (as of five years ago), (2) what has been done to change, (3) current strengths and weaknesses, and (4) needed future directions for categories of activities. In addition, a critical examination of how the organizational philosophy and values are communicated and perceived can provide valuable information to help improve the organizational climate.

Once a philosophical/cultural audit is conducted there is a basis for planning changes in both the substance and style of the organization—changes that can help produce an organiza-

tional climate more conducive to organizational and individual growth. The philosophical/cultural audit should also provide feedback on other concepts important for long-term success—trust, teamwork, egalitarianism, collective responsibility, and wholistic concern. As Peter Drucker (1982) has observed:

> The greatest weakness of American management is people management, while management of people is the greatest strength of the Japanese (p. 12).

While American cultural values may not permit a total commitment to Japanese people-management techniques, there is much to be learned from their concepts. Here again, managing a wider range of variables (the seven S's, not the three S's) and creating a climate conducive to productivity and harmony are crucial to the implementation of other concepts.

There has been much written about problems in student personnel administration and the potential decline of this activity in the future (Deegan, 1983; Humphries, 1977; Mayhew, 1973). Perhaps a key element for the growth and development of student personnel administration will be a renewed emphasis on developing a strong organizational culture. As Deal and Kennedy (1982) have written, "the new law of business life is that strong cultures make for highly successful companies." A philosophical/cultural audit can be an important step for student personnel administrators as they review the strengths and weaknesses of the organizational philosophy and culture. Characteristics which Deal and Kennedy (1982) cite as signs of weak cultures include:

> Weak cultures have no clear values or beliefs about how to succeed.
>
> They have many such beliefs but cannot agree on which are most important.
>
> Different parts of the organization have fundamentally different beliefs.
>
> The heroes of the culture are destructive or disruptive and don't build upon any common understanding about what is important.

> The rituals of day-to-day life are either disorganized—with everybody doing their own thing—or downright contradictory—with the left hand and the right hand working at cross purposes (pp. 135-136).

An awareness of weaknesses in organizational culture and a conscious effort to improve that culture may be the categorical imperatives for student personnel administrators in the future. As Deal and Kennedy (1982) have concluded:

> The future holds promise for strong culture companies. Strong cultures are not only able to respond to an environment, but they also adapt to diverse and changing circumstances. When times are tough, these companies can reach deeply into their shared values and beliefs for the truth and courage to see them through. When new challenges arise, they can adjust (p. 195).

This is exactly what student personnel administrators must do to meet both the challenges of the profession and the revolution in the structure of modern organizations.

Structural Vehicles

Once a suitable organizational philosophy and culture is in place, other concepts of Japanese management seem to have potential for experimentation in student personnel administration. Principal structural vehicles include quality circles, job rotation, and matrix management. Detailed models for implementing these structural vehicles are included in Section III of this monograph, but any experimentation with them should take several considerations into account. One caution is the previously stated concern about creating the right kind of organizational climate before implementing structural changes. A long-term commitment and an awareness that these concepts should be implemented slowly and selectively, *not as "across-the-board panaceas,"* are also crucial to the successful development of these concepts.

Quality Circles

The positive results of quality circle programs in Japanese and American organizations, and the similarities of certain objectives (i.e., maintaining or improving staff morale, reducing costs, improving services and productivity) make quality circle programs especially suitable for experimentation in student affairs programs. Quality circles could be set up departmentally or divisionally depending on the specific scope and support from a particular program, service, or department. Initially, a pilot program of one or two quality circles for a student affairs division might be the best procedure. Circles should have a sufficient number of people to have a minimum of four per group to ensure stability.

One potential problem is the tendency to implement quality circles too quickly and without proper analysis of the appropriateness of the area for quality circle activities. We believe that within any student affairs division certain areas (i.e., secretarial, public safety, admissions, housing, bookstore, health services) have more potential for implementing quality circles initially than others.

Inherent in the development of a quality circle must be the commitment of top management to provide time on the job to meet, allocate budgetary and human resources, support in-service training of all those who volunteer (from the first line supervisors to employees), and delegate authority to quality circle members so they are able to suggest or influence changes in their organization of work. In Japan, for example, the managers of the Matsushita Electric Company view employee recommendations as instrumental to making improvements not only on the job but also in the marketplace. It is their belief that a great many people paying attention each day to how to improve their jobs can accomplish more than a whole headquarters full of production engineers and planners (Pascale & Athos, 1981).

For most student affairs operations, an hour a week set aside on the job for staff to participate in a quality circle meeting is feasible. Facilitator, leader, and member training for circle participants must be provided. University or college budgetary

and intellectual resources can also be tapped to help develop the circle program, as well as to assist with data collection, cause and effect problem analysis, or case study and problem prevention techniques. Some states (Maryland, Georgia, Vermont) have management training agencies which for a reasonable fee may be able to assist with training. Support for implementing quality circles and sharing of power by the chief student affairs officer are also necessary, and top managers must view involvement with subordinates as a positive experience and not as an invasion of management prerogatives. For many administrators a quality circle program can be a welcome opportunity to explore consensual and participative decision-making methods as well as a way to promote a more intimate yet subtle and trust-laden communication network. The success of a quality circle will not solely depend on training or technique but on the dynamics created by the human interaction and on the cohesiveness of the organization. Both characteristics must exist.

Along with the sharing of power is the sharing of rewards, which in Japan often translates into increasing one's income. If a quality circle's recommendation improves company profits or lowers costs, the income of each member of the circle also may increase if he or she shares a percentage of the savings. American colleges and universities have created and incorporated very few incentive programs for employees. Before a quality circle program is initiated, the reward system needs to be discussed and determined. Some educational systems have started giving monetary rewards of up to $5,000 to any employee who has developed a workable cost-saving idea for the university system. Also, there are professional organizations (e.g., National Association of College and University Business Officers) and corporations (United States Steel Corporation) offering prize monies for colleges that develop cost-saving ideas at their respective schools (*Chronicle of Higher Education*, August 4, 1982).

American colleges may have little funding to provide a bonus or monetary reward, and the number of external funding sources will be limited. Though a promotion is viewed as a form of reward, it usually occurs only after a considerable

length of time on the job. It is the recognition of a quality circle's efforts that may be the key way to reward members for cost-reduction/sharing ideas which improve services. In a recent survey of several thousand American managers, "49 percent indicated that recognition for what they were doing was their most important reward, since most managers accept the relative infrequency of more tangible rewards and they expect they will be forthcoming to an acceptable extent" (Pascale & Athos, 1982, p. 142). Other forms of recognition might include the quality circle's management presentation, recognition in a Student Affairs division or University newsletter, or an article in local newspapers (Dewar, 1980). Regardless of which forms of reward are used, recognition by top management of a quality circle's recommendation can help assure future employee support in departments where a quality circle program has been implemented.

Nonspecialized Career Paths and Job Rotation

The authors believe the concept of nonspecialized career paths, which is generally achieved through job rotation within the same organization, has a great deal of potential within higher education in general, but especially within the many specialties embodied in the student personnel area in particular.

In student personnel work, there is a tendency to promote specialization as a part of the natural evolution of a career development pattern. Even though economic considerations, as well as management theory and career development theories, are beginning to emphasize the practicality of flexible career options, professional organizations often emphasize the advantages of specializing and exclusiveness when performing various teaching, counseling, research, and advising functions.

Once a student personnel professional becomes competent in a specialty, he or she can manage in any work setting, therefore often moving from one organization to another while still staying in the same specialty. Even in a difficult job market,

the chief student affairs officer turnover rate in 1981 was 17 percent. Career paths, for the most part, have been nomadic. We have committed ourselves professionally to be administrators/educators in the student services/student life functions in higher education, conducting our careers among organizations with little professional loyalty to one institution.

Contrastingly, in Japan, people conduct careers between specialties but within a single organization. Employees in a major institution in Japan know that they will continue throughout their careers to move between functions, offices, and geographic locations within the same organization. The person from another department who is asking for assistance today may be a coworker or superior tomorrow. Thus, there is not only the ability but also the incentive for Japanese workers to take a broad organization-wide point of view in their professional work relationships (Ouchi, 1981). Because Japanese workers and executives typically spend their entire careers with a single company, people are not judged on performance during a short period of time, nor are they under pressure to produce in the next six months. Internal movement is planned and encouraged, with the executives taking a longer perspective in guiding the organization.

The concept of establishing nonspecialized career paths through job rotation in a single organization may have significant potential application in student personnel, particularly as an employee retention incentive, as a management process to develop a broader understanding by staff of interdepartmental functions, and as a method to improve employee motivation and commitment to the organization. As discussed in Section I, the Matsushita Electric Company of Japan, one of the fifty largest corporations in the world, instituted a program of job rotation in order to achieve company-wide integration. Approximately 5 percent of Matsushita's employees are rotated each year from one division to another. Rotated employees are permanently assigned to their new division until their next promotion occurs (Pascale & Athos, 1981).

Within a student affairs division, the periodic rotation of personnel from housing to activities, or from admissions to career planning and development, or any number of other job ex-

changes is feasible. However, management must be committed to providing the training, support staff, financial resources, and encouragement necessary for total implementation.

Colleges and universities, like so many other U.S. employers, may resist investing in job rotation, especially if turnover of staff occurs after retraining. Such turnover is often viewed as a loss of the training investment. At one school, a "roving generalist" idea was abandoned due to lack of funds, inadequate time to train people, and reluctance of staff to consider rotation (Deegan, 1981). Yet, research suggests that people at all levels who continually face new jobs can be more vital, more productive, and more satisfied with their work than those who stay in one job (Ouchi, 1981, p. 32). Therefore, periodic changes (perhaps every three or four years) in a staff member's job responsibility might include a temporary job rotation and might positively influence skill development, productivity, and commitment. As we face the prospect of a slow growth economy during the next few decades, serious consideration should be given to job rotation as a staff development incentive and a management strategy to improve morale and productivity. This emphasis might enhance staff retention and provide many institution-centered career benefits as well.

A critical leadership issue that will need to be faced in the 1980s is the task of motivating and stimulating the highly skilled and productive staff member. In the past, that was not as much of a problem. Effective staff could renew their personal and professional motivation by moving up in the organization or on to another institution. Because of the short-term—and maybe long-term—economic conditions, the future will be perceived as a nonmobile time, even by the best people on the staff. When aspiring people feel blocked and stagnant, management will have difficult morale problems to solve. Some of the principles and concepts emphasized by Japanese management theory may suggest techniques or changes in attitudes which can lead to the development of new programs and policies conducive to helping staff members to feel valued and to play productive roles in the future at their institutions.

A suggestion that the university/college administration must be willing to financially support job rotation may not be

as irresponsible in times of resource retrenchment as it may seem at first glance. The cost of retraining a present employee, while maintaining the resource level of the employee's "old" unit, with the projected benefits of increased morale and productivity of the individual and the gains in flexibility of staffing for the organization, may cost much less in the long-term than funding the search and the orientation process for hiring a new person who will be unfamiliar with the organization.

Obviously, we would be advocating a degree of moderation when implementing this concept. The variable of bringing "new blood" into the organization to bring about a transfusion of new ideas to the institution is a variable of the present employment concept that we would want to protect. But a fusion of the two styles (job rotation within an organization to complement career mobility) to bring new life and new ideas to an organization has merit for experimentation.

Matrix Management

A number of authors have written about the need for organizational flexibility in order to provide more effective responses to our rapidly changing client and program needs. A problem that hinders effective organizational responses is the development of rigid organizational fiefdoms where staff are unable or unwilling to respond to changing needs and tasks. As Toffler (1981) has written, "We are necessarily led to whole new organizations for the future . . . . We need managers who can operate as capably in an open-door free flow style as in a hierarchial mode, who can work in an organization structured like an Egyptian pyramid as well as in one that looks like a Calder mobile" (p. 264).

One organizational vehicle proposed to provide more effective responses and flexibility is matrix organization. Matrix organization is controversial because it violates traditional organization principles, and therefore it often encounters resistance. Here again we see the importance of the organizational climate and of mutual trust. A matrix organization is similar to a project organization in that it provides a vehicle for achieving

teamwork between vertical functional divisions. The general advantages and dangers of matrix organization were discussed in Section I. The potentials of matrix management for student personnel work and especially for more effectively integrating and articulating student services with academic units must realistically take into account four conditions (Appleton, Moore, & Vinton, 1978):

> First, student affairs does not have line authority over academic units, although it administers specific student services that directly affect academic units, such as financial aid, admissions, personal counseling, and career advisement. Since student affairs and the academic units serve separate and autonomous functions, there is a tendency to compete, perhaps to resist one another, rather than to cooperate.
>
> Second, in most universities, student services resources are scattered throughout academic departments and schools as well as in student affairs units. Coordination of these resources is limited, if not lacking. In some cases, efforts overlap; in others, resources are shockingly underutilized.
>
> Third, there are significant differences among academic units in educational philosophy, orientation of faculty toward students, unit size, student body composition, student needs, and relative power on campus. For example, some units serve only professional students with curricula that are highly structured and reflect highly defined learning objectives; other units serve large numbers of undergraduate students with undeclared or ill-defined majors.
>
> Finally, concern for nonacademic needs of students is unfocused in most academic departments. The nonacademic and academic lives of students are disparate, if not divorced.

These conditions lead to the conclusion that for proper management, "student affairs activities require an organiza-

tional structure that places responsibility for meeting student needs on both the academic unit and the division of student affairs, that links central services to the academic units, that accommodates differences among academic units, and that coordinates academic units so that general policy and programming can be established and central resources optimally utilized" (Appleton, Moore, & Vinton, 1978, p. 373).

In theory, matrix organization patterns hold the potential to fulfill these conditions and needs. What is needed is more experimentation with matrix organization in student personnel work so we may more effectively assess the potentials and limits of this concept. A model for experimentation and a number of guidelines to help overcome past problems of matrix organization are proposed in Section III of this monograph.

Concepts Least Likely to Be Implemented

As stated at the beginning of this section, our objective in presenting an analysis of the implications of Japanese management theory for student personnel administration was to provide a focus for debate for student personnel practitioners as they reconsider their own management paradigms. The Japanese emphasis on creating a productive organizational philosophy and culture and the structural vehicles we have reviewed seem to hold significant potential for experimentation for student personnel administrators. The concepts of lifetime employment and slow evaluation and promotion seem to hold less potential for student personnel administration. While we would not preclude experimentation with these concepts, cultural differences—especially the American emphasis on independence and job mobility—might make successful implementation of these concepts less likely. What we may see, however, is a situation where the problems of the lack of opportunities to change jobs make long-term employment and slow promotion "facts of life" for many student personnel professionals. As this occurs, other Japanese concepts which can enrich the quality of work life may become even more relevant.

The challenges ahead in student personnel administration

are formidable, and the resources will be limited. The success of the Japanese economy has forced many American business firms to rethink their management paradigm, "to understand that there is a distinctive nature to the way American firms are organized and managed" (Ouchi, 1983, p. 43). The perspective that Japanese management theory offers and the successes that many Japanese firms have enjoyed by managing a wider range of variables and by emphasizing their human resources should provide concepts useful for experimentation by student personnel administrators as they also rethink their management paradigms.

To assist in this experimentation and research effort, three models for experimentation are presented in the next, and final, section of this monograph.

SECTION THREE
Models for Implementing Japanese Management Concepts

The objective of this section of the monograph is to present three models based on Japanese management concepts which student personnel administrators might consider for experimentation at their own campuses. The models were selected and created after a comprehensive review of the literature and numerous discussions and interviews with managers in profit and nonprofit organizations.

We want to stress that the models are not offered as cure-alls, but rather to provide a focus for discussion as student personnel administrators consider the applicability of Japanese management practices for their own organizations. The models offer general processes and specific steps which might be taken to implement each. The models are

1. A Quality Circle Model
2. A Job Rotation Model
3. A Model for Matrix Organization

*A Quality Circle Model for Student Affairs**

Introduction

Quality circles provide a structured and systematic method of encouraging and enabling people at all levels of an organization to develop their problem-solving ideas and communicate them to management. Although they have been used most frequently in high-productivity industries, quality circle programs have recently been adapted and successfully employed in educational institutions at many levels involving diverse segments of the educational community. From elementary school students developing playground improvement plans to university administrators refining the registration process, the applications are numerous for this participative decision-making technique.

Keeping in mind the positive and sometimes spectacular results of quality circles mentioned earlier, we can assume that within student affairs, a carefully planned and properly implemented quality circle program could have the potential to: (1) improve the delivery of services; (2) improve the quality of work life as well as student life; and (3) achieve a more productive use of the human, physical, and fiscal resources that are available in the department. It is with that assumption, and with the admonition to proceed cautiously, that we offer the following model for a quality circle program in student affairs.

Definition and Components

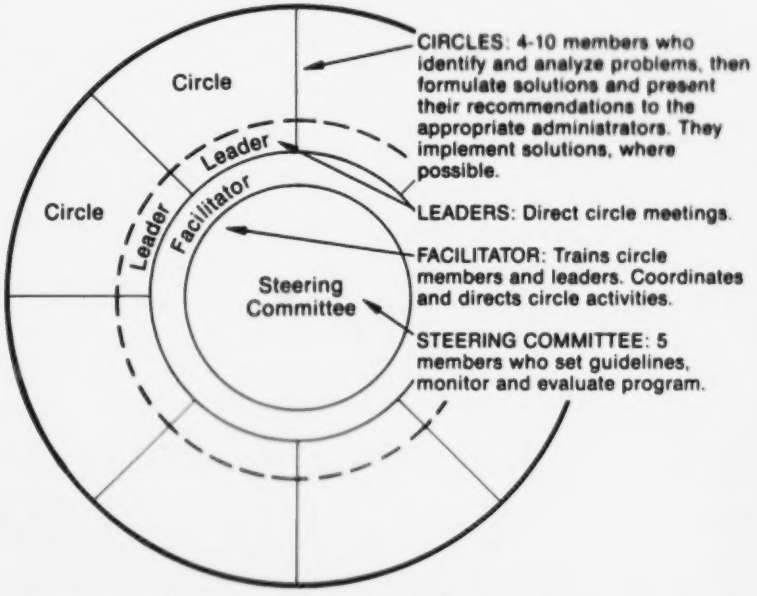
In theory, a quality circle is a group of four to ten employees, doing similar work, who voluntarily meet regularly to identify

*This model was developed in collaboration with Ms. Roberta Gifford of Arkansas Tech University.

work-related problems, analyze them, and recommend solutions for management's consideration. Typically, they meet for an hour each week, on company time, but the necessity of adapting to shifts may require that they meet at off-hours. In that case, management should be willing to pay circle members for overtime or compensatory time.

The organizational chart for a pilot project of two quality circles in a student affairs division is shown in figure 2. The chart could be expanded to include any number of circles, provided that the number of facilitators increased accordingly. Many industries provide one full-time facilitator for every eight or nine circles.

FIGURE 2
EXPERIMENTAL QUALITY CIRCLE PROJECT
Arkansas Tech University
Organizational Chart


Circle
Circle
Leader
Leader
Facilitator
Steering Committee
CIRCLES: 4-10 members who identify and analyze problems, then formulate solutions and present their recommendations to the appropriate administrators. They implement solutions, where possible.
LEADERS: Direct circle meetings.
FACILITATOR: Trains circle members and leaders. Coordinates and directs circle activities.
STEERING COMMITTEE: 5 members who set guidelines, monitor and evaluate program.

Adapted from: Hanley, Joseph, "Our Experience with Quality Circles," *Quality Program*, February 1980, p.26.

The quality circle components and their major functions are listed below.

Steering Committee

The steering committee is a group of people (preferably ten or fewer) who have the responsibility to provide overall policy direction and evaluation of the quality circle program. In smaller organizations, the committee may consist of the middle managers within the department. In a student affairs division it may consist of department heads or assistant directors. If a quality circle program were established for an entire university, the steering committee could be composed of representatives from various organizational groups such as major academic departments, administrative divisions, or alumni.

The steering committee (1) determines policies and guidelines within which the quality circles must operate; (2) plans implementation of the program; (3) selects the facilitator(s); (4) meets regularly and monitors the circle program to provide guidance and to keep the circles on target; (5) keeps top management (President, Vice Presidents) and other employees periodically informed about circle achievements; (6) attends management presentations; (7) determines the methods of circle recognition and rewards; and (8) evaluates the quality circle activity to determine expansion or termination of the program.

Facilitators

A facilitator coordinates the overall quality circle program. During the initial stages of a quality circle program, the facilitator may be an outside consultant, an in-house training specialist, the personnel director, or a staff person. Usually, when a quality circle program is being piloted in student affairs, a college or university staff person who has received comprehensive quality circle training is selected to serve as the in-house facilitator. The position of quality circle facilitator should not be added to the job description of someone who already has a demanding workload or who is not interested in the program.

The facilitator (1) serves as a member of the steering committee; (2) coordinates all circle activities and maintains records of them; (3) trains circle leaders and members; (4) publicizes the

program; and (5) maintains a strong communication network between the steering committee, circles, and other divisions of the organization.

Facilitators should be well organized, possess competent teaching skills, have a thorough knowledge of quality circle operations and group dynamics, and have interpersonal skills. It is important for the facilitator to be able to remain neutral during quality circle meetings and to be able to help solve problems such as group boredom, internal conflict, lack of communication, absenteeism, and cynicism.

Whether or not to hire a full-time facilitator for a quality circle program in student affairs should be determined by an individual assessment and obviously the program's potential benefits should be considered.

Leaders

Usually, the immediate supervisor of the quality circle members is designated as their leader, but as the circle matures (and sometimes initially), the leader may be elected by the circle members from within the group. The circle leader, working closely with the facilitator, is responsible for the operation of the circle and for the continuous training of its members. Once the leader has been trained by the facilitator, the circle is organized and member training is started at the first circle meeting. The leader becomes the teacher and must be able to ensure that discussions are job-related, keep the meeting on track, and enforce the code of conduct which members have established for themselves. A leader also helps recruit members, schedules circle meetings, and keeps accurate records of circle activities.

Members

Quality circle membership is strictly voluntary. While it is important for the members to share commonality in the jobs they perform, they need not always be at the same level within the organization. For example, the nursing department at one institution formed a quality circle which included secretarial as well as professional staff. Task-force quality circles (e.g., registration) have also been formed which included people from several departments. The student affairs administrator should

not be discouraged from experimenting, but should proceed cautiously and with full awareness that "the jury is not in" on these and other innovative adaptations.

Top Management

In student affairs, top management is the Chief Student Affairs Officer as well as the President and Vice Presidents of the institution. These are the people who must commit the organization to the quality circle program and who perceive it as a long-range effort to involve employee ingenuity and creativity in resolving problems. They are the "risk-takers" who will be investing institutional resources such as staff time and financial support.

Nonmembers

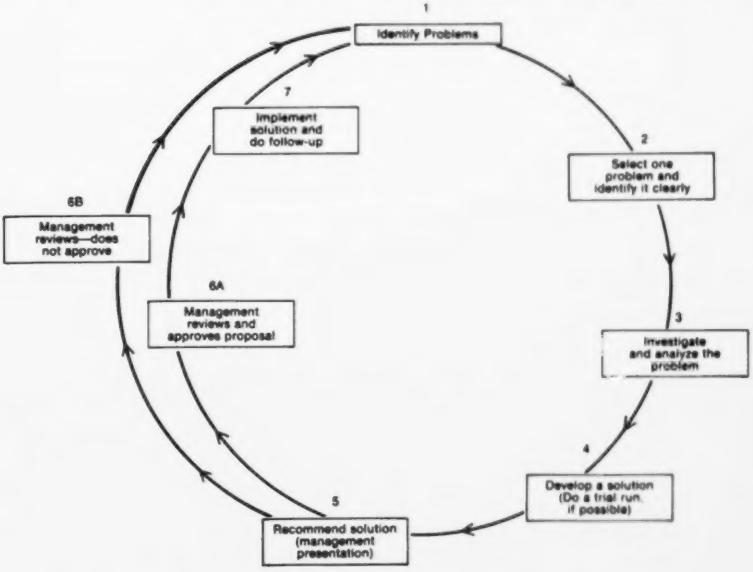
A number of additional people who do not belong to circles need to be kept informed about circle activity. They may include staff from within the same department or neighboring departments, or people who are serving as outside information experts to help the circles with research analysis. These nonmembers, such as an institutional research analyst, computer programmer, librarian, or business manager, can be extremely important to the successful development of the quality circle effort.

Quality Circle Operation

The quality circle operation—or problem-solving process—is a cycle which repeats itself continually, using very structured and systematic problem-solving techniques which will be discussed in the following section.

An overall picture of the problem-solving cycle is depicted in the diagram on page 49.

FIGURE 3
QUALITY CIRCLE PROBLEM-SOLVING PROCESS



In the cycle, members begin by identifying many work-related problems. Then they prioritize them and, by voting, select one problem on which to work. After the problem is carefully analyzed, a solution is developed and proposed to management. If management approves the recommendation, it is implemented either by the management itself or by the quality circle members. If management does not approve the recommendation, the circle members begin again at the first step, identifying problems.

Quality Circle Techniques

A number of problem-solving techniques of varying complexities are taught to quality circle facilitators, leaders, and members. A brief description of some of them and examples of ways in which they might be used follow.

Brainstorming

As it relates to quality circles, brainstorming is a technique for generating the greatest number of problems to be considered or the greatest number of solutions to a problem. Members participate in turn and may either contribute an idea or "pass." All responses are recorded for later consideration, criticism is ruled out entirely, and the brainstorming is concluded only when all members have passed.

Pareto Diagram

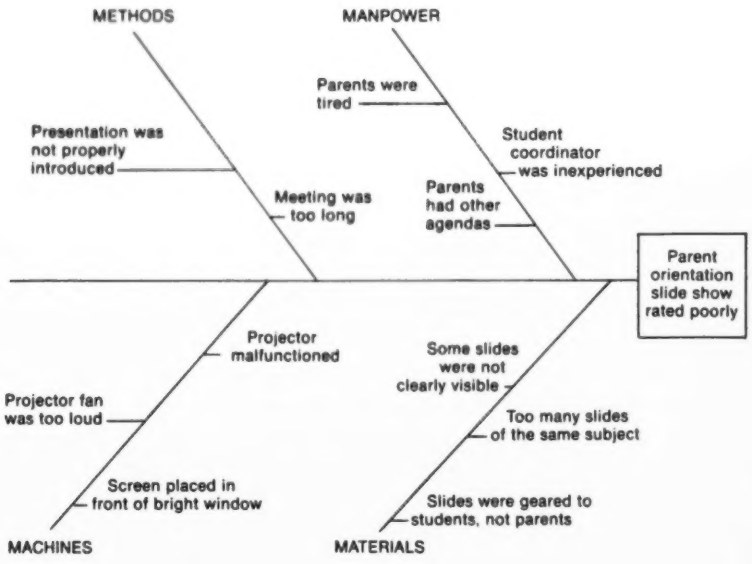
A Pareto diagram combines a column graph and a line graph to depict problems in the order of their significance. It helps circle members concentrate on the "vital few" problems and forget the "trivial many." As well as being used to identify major problems, the Pareto diagram can be used to identify major causes. Two Pareto diagrams can graphically depict "before" and "after" situations.

Cause-and-Effect Analysis

In quality circle operations, the most commonly used cause-and-effect analysis tool is the Ishikawa or "fishbone" diagram. It helps minimize uncertainties and speeds up the problem-solving process by showing the relationship between an effect and all of its possible causes.

Figure 4 shows an example of a fishbone diagram which was constructed at the University of Maryland Baltimore County to determine the causes of a poorly rated slide presentation for parent orientation. As the first step, the effect (poorly rated slide show) was placed in the box at the right. Then the circle members brainstormed for all of the possible causes and placed them under the categories: "methods," "manpower," "machines," and "materials." When all possible causes were identified, circle members voted on the most likely causes and began working on solutions to them.

FIGURE 4
FISHBONE DIAGRAM

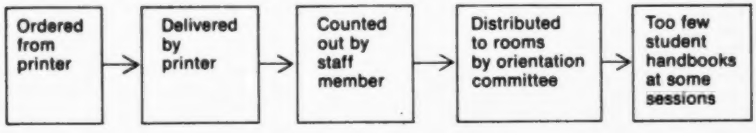

METHODS
MANPOWER
Parents were tired
Presentation was not properly introduced
Student coordinator was inexperienced
Meeting was too long
Parents had other agendas
Parent orientation slide show rated poorly
Projector malfunctioned
Some slides were not clearly visible
Projector fan was too loud
Too many slides of the same subject
Screen placed in front of bright window
Slides were geared to students, not parents
MACHINES
MATERIALS

Process Analysis

An extension of the basic cause-and-effect principle, process analysis is used when the problem under consideration involves a process or operation. The problem (or effect) is traced backward through all its steps in an effort to identify the major causes. Each step is carefully examined and, if necessary, one or all steps can be analyzed in the "fishbone" manner.

Figure 5 shows the process analysis of the problem "Too few student handbooks at some student orientation sessions."

FIGURE 5
PROCESS ANALYSIS


Ordered from printer
Delivered by printer
Counted out by staff member
Distributed to rooms by orientation committee
Too few student handbooks at some sessions

Activity Analysis

Activity analysis is used to closely examine an activity, such as a service performed, for the purpose of identifying waste and inefficiency. In this process, the quality circle members construct a chronological list of all the activities required to deliver a given service. Each separate activity is then analyzed as to whether it is productive, nonproductive, required, etc., in an effort to determine how the service can be accomplished more efficiently and effectively. Student affairs personnel might conduct an analysis of an activity such as the handling of reservations for campus facilities.

Data Gathering

Data gathering is conducted to verify the existence and nature of a problem. The variety of methods used by circle members to collect hard facts and support their ideas includes checklists, checksheets, sampling, and interviews. In addition, experts from many areas, including those outside the university, may be invited to share information at the circle meetings.

Management Presentation

Quality circle members learn a variety of techniques which help them present their recommendations to management in the most effective way. They are taught the skills of stating a purpose vividly, answering questions simply and clearly, organizing data, and displaying visual aids to the best advantage.

A Quality Circle Implementation Plan

Quality circle programs are based on a "people-oriented" philosophy which has the potential not only to improve the lives of individuals, but also to bring positive changes to the entire organization by providing a setting where improved communication systems can develop. The significance of these possibilities makes it imperative that a careful and sequential plan be drafted. If planning is hasty and disorganized the program may meet with immediate resistance and ultimate failure.

It is suggested that student affairs organizations, when

considering quality circles, begin with a pilot program of only two or three circles. Development into a university-wide program can wait until the results from the pilot program are evaluated.

The following steps represent a suggested process for implementing a quality circle program in a student affairs division.

1. Brief top management and get commitment
2. Organize a steering committee
3. Identify and train facilitators
4. Brief key staff who are not directly involved
5. Identify and train leaders
6. Form circles and train members
7. Operate quality circles
8. Monitor progress continually
9. Evaluate the program

Brief Top Management and Get Commitment

Few colleges and universities have personnel who are thoroughly familiar with the quality circle concept. Therefore, someone on the student affairs staff or in the personnel or human relations departments could be trained in quality circle techniques, or the university may wish to bring in an outside consultant. Once interested staff have studied the quality circle material or an outside consultant has been recruited, a formal presentation should be made to top management. The presentation should include information on the following: (1) background, theory, and operation of quality circles; (2) goals and objectives; and (3) benefits and limitations. Middle management may be present at this session or at a separate session that is similar in content. Either session would take about two hours and it is imperative that both groups be thoroughly "briefed." It would also be beneficial if management could see a circle in operation, and many companies and community agencies will welcome visitors who wish to observe their circle activities. Once top management's approval is gained, the program should be introduced through regular channels of the organization.

Organize Steering Committee

The steering committee is the primary planning and advisory group and should be organized immediately after management has given its support to the quality circle program. It is usually made up of various representatives within a department, division, or university and eventually includes the facilitator. In addition to developing plans and goals, one of the major responsibilities of this group is to develop policies and guidelines within which the circles must operate. Once the statement of policy is developed, it will need to be understood by all levels of management. The steering committee must also decide the areas in which to start quality circles and whether or not to begin only a pilot program. A quality circle program should be implemented only in those departments or areas where there is already enthusiasm and interest among the employees and middle managers. Most experts also suggest that starting a pilot program in one division or department is best. As previously discussed, expansion should be gradual.

Identify and Train Facilitators

The facilitator(s) is selected by the steering committee, usually from staff who have been involved in organizing the initial presentation to management and who want to become involved in this capacity. Facilitator training, which normally takes from three to five days, can be provided by a number of corporate and public service agencies and some university business schools.

A review of the facilitator training program agendas from several of these organizations reveals that their content is similar. Usually included in the three-to-four-day training format are these major topics:

1. Quality circle history and theory
2. Behavioral science aspects of quality circles
3. Quality circle components
4. Quality circle problem-solving process (operation)
5. Management presentation techniques
6. Policies and guidelines

7. Record maintenance
8. Potential problems

Following their training, facilitators will become the primary promoters of the program by encouraging involvement and by publicizing it in whatever ways are necessary and appropriate.

Brief Key Staff Who Are Not Directly Involved

It is important to continually increase understanding and awareness of the program throughout the student affairs division and the entire university. Facilitators, leaders, and members, as well as the steering committee, can participate in this general awareness campaign through formal and informal presentations.

Identify and Train Leaders

Once selected by the facilitator and/or steering committee, the leaders must be trained so they can teach the circle members when the circles are formed. Leader training is the responsibility of the facilitator, and the sessions include those areas covered in facilitator training, but with particular emphasis on leadership skills and group dynamics. The length of training will vary depending on the size, complexity, and organizational climate of the university and its student affairs division. It typically takes about three days, should be tailored to meet local requirements, and should be viewed as a continuous rather than a one-time process.

Form Circles and Train Members

After circle leaders have received their training, an invitation to attend a quality circle orientation meeting should be sent to all staff in the department or division to be involved. The invitation should be sent by the department chairman or division head and the meeting's program should be developed by the circle leaders and the facilitator. Once the program has been presented and questions answered, employees are asked to volunteer. They should be given some time to consider the opportunity, and a one-week time period seems reasonable.

After the roster of volunteers is organized, the circles can be formed.

The training of circle members begins immediately and lasts for about eight weeks, one hour per week. During their training, circle members will learn the same problem-solving and management presentation techniques that facilitators and leaders have previously learned. They are encouraged to work on problems in the areas where they have the greatest influence—where they are the experts—and to avoid areas of little or no influence, such as interdepartmental problems and personnel issues. The problems they identify should be those affecting their quality of work life, morale, communications, and productivity. Management does have the opportunity to submit problems to a circle for their consideration; however, it must be understood that these would be only suggestions and should not be considered as management edicts.

Because teaching and learning styles differ, it may be necessary to extend the training period beyond the usual eight weeks. Therefore, enough flexibility should be built into the program to allow for the possibility of lengthening the training period—or shortening it.

Operate Quality Circles

Following the member training, the problem-solving process (which has been discussed earlier) is implemented. It is a continuous process of identifying and solving problems during which the circle members apply any or all of the problem-solving techniques they have learned during the early training sessions. The management presentation techniques are applied in their formal presentation of problem solutions.

Monitor Progress Continually

It is the responsibility of the steering committee to continually monitor the progress of the overall quality circle program through reports from the facilitator and by attending quality circle meetings and management presentations whenever possible. It is also valuable for each quality circle to monitor its own progress periodically in an effort to identify its strengths and

weaknesses. (The quality circle could brainstorm to find solutions for its own problems!)

Evaluate the Quality Circle Program

After a predetermined amount of time (a year, for example), the steering committee, using all the information available to it, should evaluate the program and decide whether it should be continued, expanded, or terminated.

Problems

Quality circle programs are not guaranteed to succeed, and while many have produced spectacular results, some have been no more than a "flash in the pan." The value of knowing and guarding against those conditions which can contribute to the failure of a quality circle program cannot be overemphasized.

Some of the major problem-producing conditions are:

1. philosophy of the organization inconsistent with philosophy of quality circle concept;
2. lack of support or only lip service from top management;
3. lack of awareness and understanding throughout the organization;
4. hasty implementation;
5. no training or poor training for facilitator, leaders, members;
6. no objectives and guidelines for the program;
7. hasty expansion;
8. very slow response from management following quality circle presentations or no response at all;
9. no recognition for efforts and results of quality circle activities.

The cautious student affairs administrator must recognize each of these as a major stumbling block in the quality circle program's path.

Cost Consideration

The budget for a quality circle program will depend, basically, on two things: (1) the number of quality circles to be operated (hence, the amount and kinds of training materials to buy), and (2) the number of facilitators to be trained and the manner of their training.

Contracting for in-house training by outside agencies is probably the most expensive manner of establishing a quality circle program, but is often quite effective, and a student affairs division with adequate funds will want to consider this possibility. For a pilot program of two or three circles in student affairs, one staff person might be sent to a facilitator workshop, and that person could return to the university and educate others.

Figure 6 shows the budget for a pilot program of two quality circles (one staff; one student) in a four-year university student affairs division.

FIGURE 6
Budget A
EXPERIMENTAL QUALITY CIRCLE PROJECT
ARKANSAS TECH UNIVERSITY
1983-84

	ITEM	AMOUNT
1.	Facilitator Training	
	A. 3½ day Facilitator Workshop Fee	$ 725.00
	B. Airfare round trip Russellville, AR to Chicago, IL	276.00
	C. Hotel and meals	208.00
2.	Training materials for two circles	
	A. One facilitator manual Two leader manuals Fifteen member manuals One sound/slide program (8 separate training sessions)	575.00
	B. Miscellaneous materials such as flip charts, felt tip markers, etc.	100.00
TOTAL		$1,884.00

Summary

Quality circles have had a significant record of success in improving productivity and staff morale in profit-making organizations in Japan and America. The theory of quality circles may have significant potential for student affairs administrators as they confront the challenges of the decade ahead. What is needed is a systematic examination of the potentials and limits of quality circle theory for student affairs administration. It is to be hoped that a wide range of colleges will experiment with this concept to provide the kind of research evaluation that is needed.

A Model Job Rotation Plan

The Japanese have encouraged professional development through long-term employment within a single organization rather than through employment in various companies. The Japanese method appears to be an effective way to educate general managers who may have the depth and breadth of experience needed within the organization to move up the career ladder when an opportunity is available (Ouchi, 1981).

Research on human motivation has indicated that people need new challenges and incentives to enable them to continue to be effective and productive members of the workforce (Hershey & Blanchard, 1982). In the past, higher education, through its various employment practices, has encouraged career mobility via the nomadic mode of changing institutions on a periodic basis. This employment pattern will always be existent in American higher education and should continue for the reasons previously stated in the *implications* section of this monograph. But because of economic conditions restricting mobility, organizations have seen the need to develop the leadership potential of their own staff members through planned professional development experiences within the organization.

In the past, education administration has not been viewed as a professional career but, rather, as a secondary activity that

an individual moved to out of a teaching discipline. Today, college and university administration is too complex and the leadership needed too important not to develop planned work experiences that will enhance the leadership capabilities of individuals interested in administrative positions in higher education as a career.

Job rotation will not be productive for the individual or the organization if the experience does not enlarge or expand the individual's perspectives. Herzberg (Hershey & Blanchard, 1982) claims that giving an employee "a little of this and a little of that" does not necessarily result in motivation. Job enrichment needs to be a part of the rotation *plan* by deliberately developing experiences that will have meaning and challenge to the employee.

There are many activities, vehicles, and models that encourage the nonspecialized career-path option. This section of the monograph will describe in detail a job rotation model presently being utilized in a university student personnel division. The interaction of isolated variables will be emphasized to indicate how creative administrators might expand the model described to options and alternatives that will make the model transferrable to various campus settings as well as compatible with different budgetary scenarios. The advantages and disadvantages of the general model and the options will also be described.

The underlying assumption of any model is that the top management of the institution must be willing to finance this new staffing pattern. It is not appropriate or fair to expect the individual staff member or the department where the individual is presently located to bear the burden of this job rotation concept.

The following model has been in operation at Iowa State University during the past six years. Iowa State is a relatively large, comprehensive research institution with a complex and sophisticated student affairs component employing approximately 140 professional staff in the nine major departments of the division. In 1977, a position entitled Assistant to the Vice President for Student Affairs (Attachment I page 71) was developed and funded. The organizational structure in the student

affairs division was rather flat or horizontal in nature (Attachment II page 73) with a chief student affairs officer at the vice-presidential level and nine major units headed by deans or directors reporting to a vice president. There were no professional staff members in the vice president's office. Consequently, convincing the university budget committee, even in this difficult economy, to add a permanent position at an "assistant to" level would not have been an impossible task. After an in-depth review of the division's organizational structure, resource needs, and concern for staff development, the decision was made to reallocate present monies in the division to promote a position in the vice president's office that would be filled by rotating a staff member from one of the nine student affairs departments on a temporary assignment for a year to serve as Assistant to the Vice President for Student Affairs. The first step in creating this position was to convince the nine department heads that this staffing arrangement would be serving some of the professional development needs of their staff members, i.e., self-renewal, acquiring additional skills and experience, obtaining a more general perspective of the university, and ultimately, assisting the employee in a future promotional effort within the organization as well as outside the institution.

The personnel office of the university had to be not only supportive of this rotating staffing arrangement but also willing to permit the flexibility needed if the plan conflicted with existing classification and employment procedures.

The other issue that had to be satisfied before the concept was endorsed by the administrators at the department level was that this staff development position would not be created or implemented at the expense of departmental resources. Therefore, the following mechanism was instituted to ensure this latter concern was satisfied: Funding was set aside in the vice president's budget to transfer to the departmental unit that was "losing" the person. This funding could be used to replace the position on a temporary basis. The person chosen to be the Assistant to the Vice President for this particular timeframe would bring his or her departmental salary to the new position. The department would be allocated monies (approxi-

mately $17,000 annually) to replace the workload void, not necessarily the responsibility void.

All professional student personnel staff who had been at the university at least two years, excluding deans or directors, were eligible to apply for this position. At first consideration it may appear as if the department would lose something in the dollar exchange, and they do, because usually the staff person is making $2,000 to $8,000 more than the funding level for the replacement. But depending on the creativity utilized by the administrator at the department level, the allocated funds can be used to encourage various departmental staffing arrangements on an experimental basis for a year. In essence, what starts out as a job rotation activity for one person can have a ripple effect in staff development for the entire staff of the particular department involved. The department has much flexibility in how to use its "new" dollars, i.e., hire a direct replacement (this could hinder the ripple effect) or transfer a present staff member into the new responsibilities (endless options accompany this variable). The department is limited only by its own imagination and creativity as to how it solves the employment "crisis." The new dollars can be used to hire a professional staff member(s), graduate assistants, consultants, undergraduate work/study student, etc.

Another stipulation of the program is that the person chosen to be Assistant for a year would be guaranteed a position back in the home department once the experience is completed.

The rotating position is filled on a competitive basis each year. Interested individuals submit an application much as they would for any vacant position in higher education, i.e., they need the support of their supervisors, letters of application along with a resume, a screening interview before a committee of their peers and superiors, and, if they survive the screening committee as a viable candidate, an interview with the vice president.

Although the professional workforce enthusiastically endorsed the concept from the beginning, only one applicant applied the first year and two the second year. The interest has grown steadily in the last several years, because the position

has gone from a half-time job to a full-time job. Seven well-qualified candidates applied for the position in 1981 and again in 1982. The competitive procedures used to fill this position need to be evaluated prior to implementing this procedure on a long-term basis. Although the open-application process has commendable attributes, it can have confounding negative messages as perceived by staff when the interviewing process includes a number of the applicant's peers and the end result is that the individual applicant does not receive the appointment. The risk of exposing oneself to an internal competition can be viewed as more difficult or embarrassing to a candidate who is not selected than when applying for a position in an external process. Thus, the application procedure should be kept as simple and as free of "internal exposure" as possible.

The recipients of this rotating position have come from the following student affairs areas: Student Activities (six years of previous professional experience), Departments of Residence (seven years of experience), Counseling Service (fifteen years as a clinical psychologist), Financial Aids (eight years experience), and New Student Orientation (nine years experience).

The guarantee of the staff members returning to their home departments is an incentive to encourage individuals to apply for the experience. The job rotation program was developed to attract staff members who had outgrown their jobs and who were looking to move up in their particular careers, or who saw their career opportunities limited by their present jobs and wished to expand their horizons. The guarantee of employment in their old jobs can have a "good news/bad news" scenario. The good news is that employment is assured. The bad news can be the letdown of returning to the "old" area, especially if a good experience in the new job has raised expectations. This phenomenon could be more of a delayed gratification problem rather than a distinct disadvantage, but the issue needs to be understood and dealt with by the employee and the employer as the experience evolves. In the program described, three of the first five recipients returned to their home departments at the end of the year and were given additional responsibilities. Two of the individuals were employed by other institutions in positions of increased responsibility

upon completion of their job rotation.

The supervisor in the employee's returning department needs to be sensitive and responsive to the needs of the returning employee. Just as skills and needs of employees change, so do needs of organizations—some administrators recognize this better than others. The transition of the employee back to the former department should be an integral part of the planning of the job rotation program. If the program has had meaning, the individual will have changed, and that must be recognized by the appropriate administrators.

Other Options

The program that has been described is an example that represents job rotation at the highest level of the organizational unit. This same model could also be used at subordinate levels of the organization. Following are examples of additional options that might be considered in using job rotation for staff and organizational development. A key element in examining these options is time, and the two aspects of time that need to be carefully planned are the employee's daily allocated commitment (full-time or part-time) and the amount of calendar time spent in the new experience, i.e., three weeks, three months, six months, one year, etc. The options are many when considering each aspect of the variable. Practical examples would be

1. A program adviser in the international education services area is assigned to the student counseling service on a half-time basis for one semester. During the portion of time spent in the student counseling service, the individual will be viewed as an integral member of the counseling staff.
2. A staff member from the academic advising office could be transferred for two hours a day for the entire year as part of the financial aid staff.
3. A member of the student union program activities staff could be assigned as an assistant to the director of residence life on a full-time basis for a semester.

The above examples relate to only one person changing re-

sponsibilities and are temporary in nature as the staff member returns after a specified period of time.

Another form of rotation would be two departments exchanging staff members for a designated period. Examples would be

1. A financial aid staff member exchanges with a staff member from the dean of students office.
2. A counselor exchanges with a staff member from the career placement office.
3. A generalist in the vice president's office exchanges with a staff member from the Office of Equal Educational Opportunity.

Job rotation need not be just temporary in nature, i.e., one year or less. Individuals could exchange positions on a permanent basis, or a policy could be developed and implemented that would allow a certain percentage of staff vacancies to be filled only by voluntary internal transfer of staff from one department to another. This policy need not violate the institution's affirmative action policy, because if the transfer occurs, there will always remain a vacancy that could be filled by external advertising. As a matter of fact, a voluntary internal transfer policy could, in itself, be an excellent affirmative action plan to assist those employees in the protected classes to achieve their career goals. This intentional rotation option would not take extra funding, and it would allow the individuals and the departments more of a feeling of permanency and consistency than do the options that have been mentioned previously.

Another rotation alternative that is utilized at the present time on many campuses is the *"peak-and-valley" concept*. This concept is described by the unevenness of workload in the various areas of the organization—it is greater at certain times of the year and less at other times. Many administrators shift staff on a mandatory basis to cover areas that need additional help; there is nothing new to this administrative prerogative. Shifting staff on a mandatory basis is necessary many times and may be viewed as a new learning experience for the staff involved. But if a division-wide analysis was made of the workload flow of the various units in the student personnel area,

perhaps an "intentional job rotation program" could be developed more on a voluntary basis by staff. A concise training program along with a well-thought-out incentive system would need to support this temporary voluntary effort. Examples would be

> **1.** Admissions staff, recreation personnel, counselors, and student activities staff could be transferred to assist the financial aid office in the disbursement of aid and the financial advising of students during the opening of the new academic year each fall.
> **2.** In the summer, staff from other student personnel units could be shifted to assist new student orientation staff in the advising and orienting of new students to the university.

This means the additional staff members would be formally part of the new unit for a definite period of time.

The ultimate job rotation program would be included in a staff development program *implemented at the point of hiring* a new staff member. In this model, job rotation would be a major vehicle to provide planned experiences for individual staff members to help develop leadership potential for promotional opportunities within the organization.

To achieve this goal, personnel policies of the institution need to be flexible enough to allow the chief student personnel officer to move staff members from one department to another when a vacancy occurs. When an employee is hired, a job rotation plan would be developed by the employee and the management of the organization that would assist the staff member to reach long-term career goals. An example of a possible rotation plan would be

> The long-term goal of the individual is to be a dean of students. The individual is currently a program adviser in a student activities office. The *program plan* would be to spend two years in the present position. The staff member would be expected to transfer to at least two other departments of the division during the next five years to gain additional

> breadth of experience. Any of the rotation moves could be on a promotional basis after spending at least two years at the same classification level.

This presumes that the performance appraisal of the individual would merit the job rotations. Consequently, at the end of seven years in the institution, the individual and the administration would expect the staff member to have gained experience in three different institutional offices and to have been promoted at least twice during the seven years. Unless the career goal of the employee changes, the organization would expect the individual to be ready to step into a major administrative post at the institution. If this position is not available, the individual would have a distinct advantage when competing for this position at another institution because of the planned experiences achieved during this time.

Each staff member in the student personnel organization described in this example would have a career development plan based on his or her interests and the ability of the organization to give the person the desired experiences needed. Critics of the above model might question the practicality of this comprehensive program. Each staff member's goal will be different; consequently, the path(s) to reach the goal will be different. Even if the plan did not materialize exactly, the important element is that the program was developed and accepted by the individual and the institution manager. The employee would know if he or she performed well, and if the opportunity was available, the administration would facilitate a move or a promotion to another level of the organization. This model is not dissimilar to the program of the military to enhance the mobility of career officers during the twenty-to-thirty-year tenure period that they have with the military organization. Career officers are made aware of the amount and kinds of experiences needed to reach their career goals in a specific period of time in the military hierarchy. Successful corporations have also spent millions of dollars developing programs to enhance the movement of their personnel to leadership positions at the top of the organization. Therefore, it would seem appropriate and feasible for administrators in student personnel functions to be de-

veloped through similar methods in order to move into general leadership positions in the institution.

A comprehensive job rotation program may also be created beyond the student personnel realm of influence. Therefore, nonstudent personnel rotation options need to be planned and available for staff participation. This expansion beyond the student personnel areas is obviously more difficult because of the lack of total administrative control of the program if another administrative unit is involved. The simplest model would be direct shifts (temporary or permanent) in staff between student personnel and other institutional units. The matrix organization model presented at the end of this section may provide some insights for achieving a more institution-wide job rotation program.

Advantages and Disadvantages

Job rotation may work best in those programs that can hold the budgetary implications of the program constant from year to year. Consequently, the Iowa State job rotation program has attempted to *hold constant replacement costs* and the salary that rotated employees would receive, i.e., employees would keep their former salaries when moving to the new job. If the cost factor is allowed to vary based on the replacement cost as well as an incremental increase for the rotated employee, the administrative logistics of finding additional dollars can create barriers that eventually could erode support from within the organization. Holding replacement costs constant allows the *selection* process to be autonomous from the cost of the program, and it can encourage managers to be more creative in filling the temporary workload void.

Another factor that needs to be analyzed for potential advantages and disadvantages is eligibility. Who will participate and on what basis? This decision will naturally vary depending on the situation of each institution, but staff members should have a voice in decision making regarding the eligibility question. It is a distinct advantage for any job rotation plan if the staff members at all levels of the student personnel organiza-

tion are aware that top management sees job rotation as a career enhancing activity. Involving them in determining the plan and the eligibility requirements can enhance support and help alleviate fears about the program.

The advantages and disadvantages of the length of time permitted in a rotation program are also essential elements to consider. A realistic plan (half time/full time or other options) needs to be developed in view of the program goals and the activities and responsibilities of the new job. Extra activities or projects imposed on a full workload will be viewed as "busy work" and an overload, rather than a new and meaningful work experience. The job rotation plan should provide individual(s) time to learn new skills and to become contributing members of the new staff. Job rotation on a part-time basis has natural disadvantages in comparison with releasing a person to a full-time commitment to the new experience. The advantages and disadvantages are situational specific, but the variable of the time must be carefully evaluated and planned in developing a job rotation program.

Summary

The primary assumption of any job rotation model is that the top management of the institution or the organizational unit that is implementing the program is willing to commit finances to support the career training program for leadership positions in student personnel. A secondary assumption, but essential to the success of the program, is that the staff members who will benefit directly from the program are involved and understand both the institutional objectives and the individual staff development goals of the program.

ATTACHMENT I
POSITION DESCRIPTION

POSITION:	Assistant to the Vice President for Student Affairs
SUPERVISOR:	Vice President for Student Affairs
CONDITION OF EMPLOYMENT:	One-year (July 1-June 30) full-time position to be filled by internal transfer within the Student Affairs Division at no change in salary.
JOB RESPONSIBILITIES:	*Communication* —Work with advisor groups, university committees and other agencies as requested by the Vice President for Student Affairs —Publish a newsletter for the Division of Student Affairs —Represent the vice president in his absence *Administration* —Assist the vice president in the administration of the Office of Student Affairs —Understand philosophical and operational parameters of the vice president's administration —Perform staff assignments as required, e.g., respond to inquiries made of the Office of the Vice President —Participate in the development of the Student Affairs budget by collecting, assembling, and analyzing information *Program Development* —Facilitate the annual divisional goal setting process, participate in Deans and Directors meetings, and monitor the status of the divisional goals and objectives

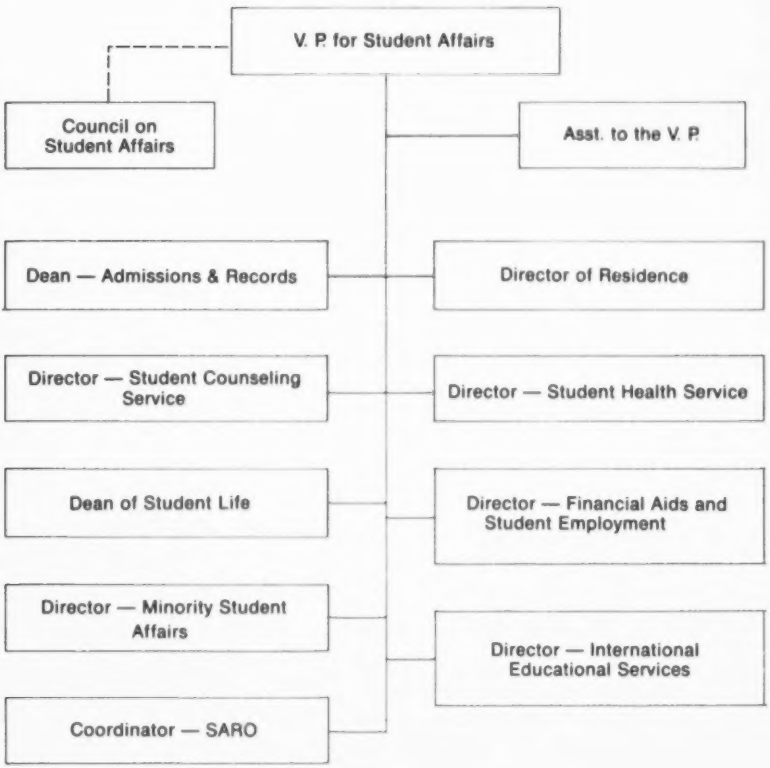
—Participate in the formulation and development of policies
—Supervise practicum students
—Coordinate special projects with the university community
—Coordinate the Student Affairs Graduate Assistantship Program
—Coordinate the Student Affairs Summer Institute
—Plan and implement division-wide staff development

QUALIFICATIONS: Two years in the Division of Student Affairs at Iowa State. Applications are encouraged from all staff except deans and directors.

APPLICATION PROCEDURE: An appointed committee of Student Affairs personnel will evaluate applications and recommend viable candidates to fill the post. It is recommended the applicant discuss applying for this position with his/her immediate supervisor to receive appropriate support.

Resume should include all activities in the Division of Student Affairs and related experiences along with a letter of application indicating reasons for interest in this position.

ATTACHMENT II
IOWA STATE UNIVERSITY
STUDENT AFFAIRS ORGANIZATION CHART


V. P. for Student Affairs
Council on Student Affairs
Asst. to the V. P.
Dean — Admissions & Records
Director of Residence
Director — Student Counseling Service
Director — Student Health Service
Dean of Student Life
Director — Financial Aids and Student Employment
Director — Minority Student Affairs
Director — International Educational Services
Coordinator — SARO

Matrix Organization Models

Much of the recent literature concerning the organization of student affairs programs has focused on organizing to facilitate the implementation of the student development concepts set forth by Miller and Prince (1976). While there are numerous variations in the organization of student affairs programs, three predominant models seem to capture the traditional approaches to organizing student affairs divisions. Crookston and Athyns (1974) reported on these models in a national survey. The most common model (80 percent of the institutions) was the traditional line-staff structure shown in figure 7. The second most prevalent model (11 percent of the institutions) was the more clustered model shown in figure 8. A two-part version of the clustered model (figure 9) was found in less than 2 percent of the institutions surveyed.

FIGURE 7
Models for Organizing Student Affairs Divisions*
Line-Staff Structure of Student Affairs

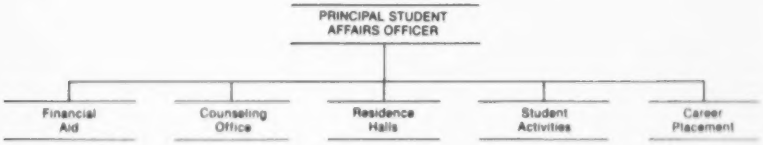
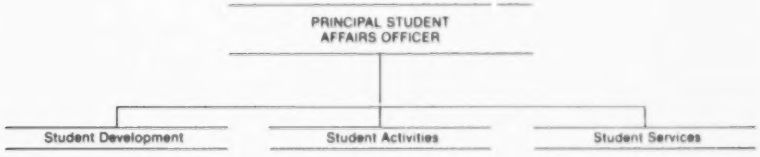
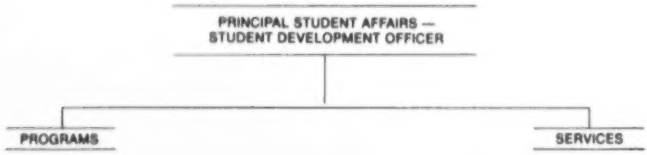


FIGURE 8
Line-Staff Structure with Three Subdivisions



*From Deegan, William L. *The Management of Student Affairs Programs in Community Colleges: Revamping Processes and Structures*. American Association of Community and Junior Colleges, 1982.

FIGURE 9
Line-Staff Structure with Two Subdivisions



A study by Deegan (1982) reported strong interest in revising organization to facilitate student development, but the student affairs executives interviewed were also aware that to be really successful their efforts must eventually go beyond the student affairs division, become college-wide, and include faculty and staff from other divisions. They also expressed a concern about finding ways to increase organizational flexibility to provide more effective responses to the problems of changing student and program needs and staff locked into rigid organizational fiefdoms. The study concluded: "There is a need for effective organizational models to help give life to the student development concept and to provide for the organizational flexibility that will be needed in the future."

Reductions in resources, changing student needs, and the need to maximize the use of scarce resources suggest the time may be ripe for more experimentation with matrix organization in student affairs divisions. The increasing emphasis on attracting students, and more important, on retaining them, calls for greater collaboration and team efforts than the "separate jurisdictions" model of student affairs organizations can provide.

As discussed earlier in the monograph, matrix organization holds the potential to provide organizational flexibility, specialized knowledge, responsiveness to changing needs, and a better balance between time, cost, and performance. These advantages must be weighed against the potential problems of conflict, stress, complexity, and politics which can occur in matrix organization.

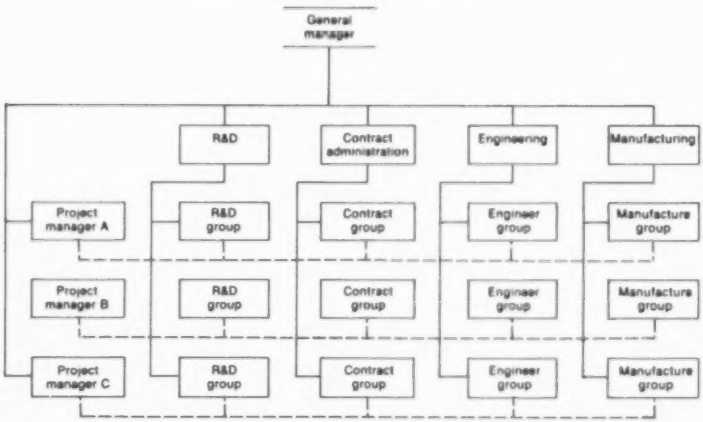
However, as Appleton, Moore, and Vinton (1978) conclude: "Student affairs activities require an organizational

structure that places responsibility for meeting student needs on *both* the academic unit and the division of student affairs." Matrix organization has the potential to do that, but as stressed throughout the monograph, managers must develop a proper organizational climate before experimenting with this concept. Thus, the first step in matrix organization is to make sure that a climate of mutual trust and a clear understanding of the goals, rewards, and benefits of matrix organization are established.

The specific model of matrix organization will obviously depend on the needs of a particular campus. Three models of matrix organization are reviewed here to serve as a focus for discussion as student personnel administrators consider experimenting with matrix concepts.

Figure 10 portrays a general model of matrix (project) organization as it might appear in a business organization.

FIGURE 10
A General Model of Matrix Organization



The matrix or project organization model allows for coordination of specialists as needed, but it also violates a number of organizational principles. Figure 11 shows a comparison of project and functional organization contrasted by selected organizational variables. Student affairs administrators should examine these differences closely before proceeding with a matrix organization model.

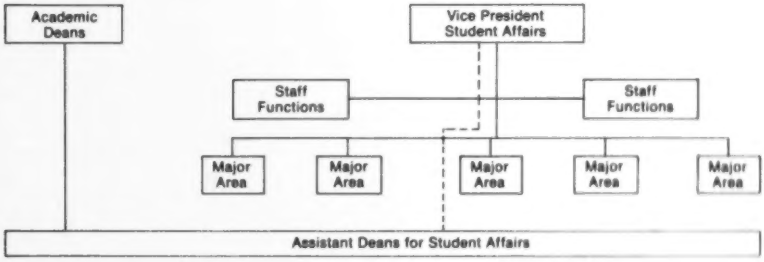
FIGURE 11
A Comparison of the Project versus the Functional Organization

Phenomenon	Project viewpoint	Functional viewpoint
Line-staff organizational dichotomy	Vestiges of the hierarchical model remain, but line functions are placed in a support position. A web of authority and responsibility relationships exists.	Line functions have direct responsibility for accomplishing the objectives; the line commands, staff advises.
Scalar principle	Elements of the vertical chain exist, but prime emphasis is placed on horizontal and diagonal work flow.	The chain of authority relationships is from superior to subordinate throughout the organization. Central, crucial, and important business is conducted up and down the vertical hierarchy.
Superior-subordinate relationship	Peer to peer, manager to technical expert, associate to associate relationships are used to conduct much of the salient business.	This is the most important relationship; if kept healthy, success will follow. All important business is conducted through a pyramiding structure of superiors-subordinates.
Organizational objectives	Management of a project becomes a joint venture of many relatively independent organizations. Thus, the objective becomes multilateral.	Organizational objectives are sought by the parent unit (an assembly of suborganizations) working within its environment. The objective is unilateral.
Unity of direction	The project manager manages across functional and organizational lines to accomplish a common interorganizational objective.	The general manager acts as the head for a group of activities having the same plan.
Parity of authority and responsibility	Considerable opportunity exists for the project manager's responsibility to exceed his authority. Support people are often responsible to other managers (functional) for pay, performance reports, promotions, and so forth.	Consistent with functional management; the integrity of the superior-subordinate relationship is maintained through functional authority and advisory staff services.
Time duration	The project (and hence the organization) is finite in duration.	Tends to perpetuate itself to provide continuing facilitative support.

Source: David I. Cleland, "Understanding Project Authority," *Business Horizons*, Spring 1967, p.66.

A version of matrix organization for student personnel administration was proposed by Appleton, Moore and Vinton (1978). Figure 12 shows that model.

FIGURE 12
The Hub-Spoke Model



As the authors of the model described it:

> An effective alternative to centralized or bureaucratic structure has been to establish a student affairs locus in each academic unit. In the spring of 1973, the academic deans unanimously endorsed a plan to identify student affairs personnel in each of their units who would be coordinated by the vice-president for student affairs. The title most frequently applied to these personnel was an assistant dean for student affairs. The student affairs organization was changed from a centralized, bureaucratic structure to a "hub-spoke" arrangement which connected student affairs more closely to the academic units.

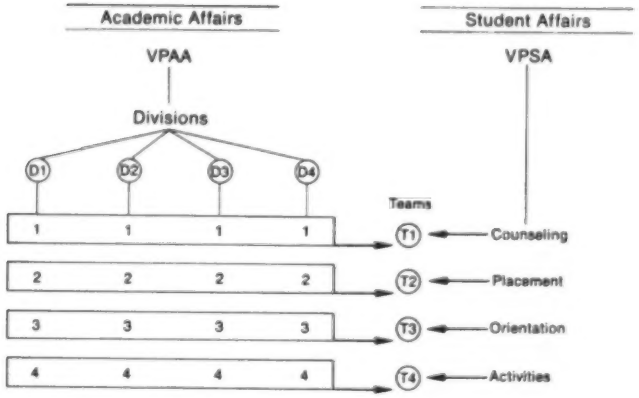
The article concluded:

> The effectiveness of the model is in large part attributable to the style with which it was implemented. Careful preparation was necessary in gaining the support of academic deans, central administration, and student affairs personnel. The entire process was enhanced by an understanding of par-

ticipatory decision making and administration. The participatory approach to management engenders the trust essential in bringing disparate and autonomous administrative units into a system of collaboration and cooperation. Both the student and the institution are winners.

Another version of matrix organization for student affairs divisions might take a stronger project and team orientation. Figure 13 shows such a model.

FIGURE 13
Team Organization



In this model, each academic division would designate a person responsible for coordination of a particular project (e.g., counseling, orientation, placement, activities). That person would work with both the project (team) leader from student affairs and staff in his or her division to help coordinate the particular function. Depending on the campus climate, the functions could either be decentralized and offered in the academic division with the help of student affairs staff, or they

could remain centralized but with better information and coordination provided by the divisional representatives on the teams. Obviously this decision must realistically take into account prevailing reward systems for faculty and administrators.

Any experimentation with matrix organization must also take into account past problems with this concept (see Sections I and II, Peters & Waterman, 1982 and Kuh, 1983). In order to help student affairs administrators anticipate and overcome problems, we recommend consideration of the following guidelines for implementing matrix organization:

1. Work to develop a suitable organizational climate before attempting a matrix organization model. Staff in student affairs and in academic areas to be affected by the model should be oriented about the goals and potential problems, and a climate of trust, cooperation, and agreement on roles and goals should be in place *before* any program begins.

2. Limit the number of objectives and select a model most conducive to achieving those objectives. If the major objective is to increase communication and coordination between divisions, then the "Hub-Spoke" model (figure 12) might be the most appropriate. If the objective is to deliver services in new or more effective ways, then the "Team Organization" (figure 13) may be the better choice.

3. Begin with a pilot program. Matrix organization can quickly become overly complicated. Starting with a pilot program (e.g., selecting one area from the "Team Organization" model) and working out initial problems will provide valuable experience before a comprehensive program is implemented.

4. Avoid excess paperwork and meetings. The idea is to enhance communication and delivery of services, not to create additional levels of reporting. The focus must remain on the achievement of objectives, not on processes and paperwork.

5. Expect the initiative to remain in the student affairs division. Agreement on goals and roles can help alleviate many problems, but until reward systems change in the academic affairs areas, responsibility for leadership, planning, and coordination should be maintained by the student affairs division staff.

6. Carefully evaluate the pilot program. Too often there is a rush to implement a comprehensive matrix organization model. It is crucial that the pilot program runs for a sufficient period of time to allow evaluation of both the impact on communication and services and the extent of drift into complexity or excess paperwork.

As discussed earlier, individual colleges will develop their own models based on their unique needs and reward systems. We hope we will see more experimentation with matrix organization to more fully assess its potential to provide more effective collaboration between academic affairs and student affairs staffs for the long-term interests of the institution.

IN CONCLUSION

American higher education faces great challenges in the 1980s, some of which may be similar to those faced by American corporations in the 1970s. Whether we fall into the trap of making short-run decisions to the long-term detriment of our institutions is yet to be determined. This monograph is intended to provide a framework for analyzing the potentials and limits of Japanese management theory for student personnel administration. The concepts reviewed have helped many Japanese corporations to achieve striking success in providing quality, increasing productivity, and reducing costs. Those same challenges face American colleges and universities in the decade ahead. The applicability of Japanese management concepts to the American college or university is becoming an issue of some significant debate. Hopefully, we will see a number of research and demonstration projects to empirically test the potentials and limits of these concepts for increasing quality, reducing costs, and improving staff morale in student personnel administration.

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